

ITW

Practitioner's Docket No. HES 2003-IP-012703U1

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Patent application

of \_\_\_\_\_  
Inventor(s)

for \_\_\_\_\_  
Title of invention

**OR**

In re application of: William W. Shumway et al.

Application No.: 0 10/799,810

Group Art Unit: unknown

Filed: 03/12/2004

Examiner: unknown

For: Surfactant-Free Emulsions And Methods of Use Thereof

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

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**37 C.F.R. § 1.8(a)**

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**TRANSMISSION**

☐ facsimile transmitted to the Patent and Trademark Office, (703) \_\_\_\_\_

Sheila Gibbs

Signature

Date: 5-19-04

Sheila Gibbs

(type or print name of person certifying)

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

(Transmittal of Information Disclosure Statement Within Three Months of Filing or Before Mailing of First Office Action [6-3]—page 1 of 3)

**NOTE:** 37 C.F.R. 1.98(b):

(1) Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.

(2) Each U.S. patent application publication listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.

(3) Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.

(4) Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.

(5) Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

**WARNING:** No extension of time can be had under 37 C.F.R. § 1.136 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(f).

**NOTE:** The "filing date of a national application" under 37 C.F.R. § 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 C.F.R. § 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. § 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the basic national fee; (2) a copy of the international application, unless already sent by the International Bureau, and optionally an English translation if filed in another language; and, also optionally (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. The optional items must be submitted later, with surcharges. 37 C.F.R. § 1.97(b)(2).

### **IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. § 1.97(b).

**NOTE:** "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."

**NOTE:** "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An Office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39). See also § 609, M.P.E.P., 8th Edition.

**NOTE:** "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

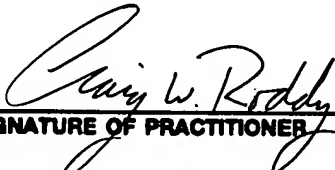
**NOTE:** "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. § 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63). But see § 103(b) and (c), limited suspension of action in a continued prosecution application (CPA) filed under § 1.53(d) and in a request for continued examination (RCE) under § 1.114.

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**SIGNATURE OF PRACTITIONER**  
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\_\_\_\_\_



PATENT  
HES 2003-IP-012703U1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	William W. Shumway et al.	)	
		)	
		)	Art Unit: Unknown
		)	
Serial No.:	10/799,810	)	
		)	
Filed:	March 12, 2004	)	Examiner: Unknown
		)	
For:	SURFACTANT-FREE EMULSIONS	)	
	AND METHODS OF USE THEREOF	)	

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

SIR:

The following documents are known to Applicants or Applicants' attorneys and are submitted for the Examiner to consider in the above-captioned application.

**U. S. PATENTS**

U.S. Patent No. 4,018,426 issued April 19, 1977 to Richard E. Mertz et al.

U.S. Patent No. 3,946,994 issued March 30, 1976 to Richard E. Mertz et al.

U.S. Patent No. 6,410,035 B1 issued June 25, 2002 to Heinrich Gers-Barlag et al.

U.S. Patent No. 6,645,712 B1 issued November 11, 2003 to Joseph H. Olijve et al.

U.S. Patent No. 5,494,120 issued February 27, 1996 to Arthur H. Hale et al.

U.S. Statutory Invention Registration No. H837 published November 6, 1990 to Dennis G. Peiffer et al.

**OTHER PUBLICATIONS**

Paper entitled "Droplet-Droplet Interactions in Both Direct and Inverse Emulsions Stabilized by a Balanced Amphiphilic Polyelectrolyte," by Patrick Perrin, dated November 1999.

Paper entitled "Amphiphilic Copolymers: A New Route To Prepare Ordered Monodisperse Emulsions" by P. Perrin, dated July 1998.

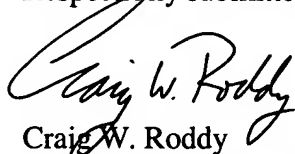
Paper entitled "Shear-Induced Formation of Ordered Monodisperse Emulsions Stabilized by an Associating Amphiphilic Polyelectrolyte" by Patrick Perrin et al., dated January 2001.

Paper entitled "Rheological Behavior of Highly Concentrated Oil-in-Water (o/w) Emulsions" by R. Pons et al., dated March 1995.

Paper entitled "UV-Visible Light: A Novel Route to Tune the Type of an Emulsion" by Iolanda Porcar et al., dated July 2001.

Copies of the non-patented references and Form PTO-1449 are submitted herewith.

Respectfully submitted,



Craig W. Roddy  
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<b>FORM PTO-1449</b> (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	ATTY. DOCKET NO. 2003-IP-012703U1	SERIAL NO. 10/799,810
	APPLICANT William W. Shumway et al.	
	FILING DATE March 12, 2004	GROUP Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		Document No.	Date	Name	Class	Subclass	Filing Date if Appropriate
	AA	4,018,426	04/19/77	Mertz et al.	259	7	
	AB	3,946,994	03/30/76	Mertz et al.	259	7	
	AC	6,410,035 B1	06/25/02	Gers-Barlag et al.	424	404	
	AD	6,645,712 B1	11/11/03	Olijve et al.	430	543	
	AE	5,494,120	02/27/96	Hale et al.	175	72	
	AF	H837	11/06/90	Peiffer et al.	252	8.511	
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR		Paper entitled "Droplet-Droplet Interactions in Both Direct and Inverse Emulsions Stabilized by a Balanced Amphiphilic Polyelectrolyte," by Patrick Perrin, dated November 1999.
	AS		Paper entitled "Amphiphilic Copolymers: A New Route To Prepare Ordered Monodisperse Emulsions" by P. Perrin, dated July 1998.
	AT		Paper entitled "Shear-Induced Formation of Ordered Monodisperse Emulsions Stabilized by an Associating Amphiphilic Polyelectrolyte" by Patrick Perrin et al., dated January 2001.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>FORM PTO-1449 (Modified)</b>  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	PATTY. DOCKET NO. 2003-IP-012703U1	SERIAL NO. 10/799,810
	APPLICANT William W. Shumway et al.	
	FILING DATE March 12, 2004	GROUP Unknown

*U.S. PATENT DOCUMENTS*

EXAMINER INITIAL		Document No.	Date	Name	Class	Subclass	Filing Date if Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

*FOREIGN PATENT DOCUMENTS*

		Document No.	Date	Country	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

*OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)*

	AR	Paper entitled "Rheological Behavior of Highly Concentrated Oil-in-Water (o/w) Emulsions" by R. Pons et al., dated March 1995.
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